

UOB Kay Hian Malaysia Whistleblowing Policy

UOBKH is committed to have good corporate governance with the establishment of a whistle blowing policy that sets out a transparent and reliable communication channel for legitimate concerns to be raised and objectively investigated and addressed. Any person, external or internal will be able to raise concerns about illegal, unethical or questionable practices in confidence and without the fear of retaliation.

Any person, external or internal is encouraged to report to relevant authorities of UOBKH about possible improprieties in matters of financial reporting, unethical behaviour, malpractices, illegal acts or failure to comply with regulatory requirements, which shall include but not limited to the following:

- fraud;
- corruption, bribery and blackmail;
- criminal offences;
- miscarriage of justice;
- endangerment of an individual's health and safety;
- abuse of position or information; and
- concealment of any or a combination of the above.

Principles of Whistleblowing Policy

The principles underpinning the policy are as follows:

- (a) All concerns raised will be treated fairly and properly;
- (b) The Company/Group will not tolerate harassment or victimization of anyone raising a genuine concern;
- (c) Any individual making a disclosure will retain anonymity unless the individual agrees otherwise;
- (d) The company will ensure that any individual raising a concern is aware who is handling the matter; and
- (e) The Company/Group will ensure no one will be at risk of suffering some form of reprisal as a result of raising a concern even if the individual is mistaken.

Protection Given

A whistleblowers' rights and protection shall be in accordance to relevant laws provision afforded, such as Whistleblower Protection Act 2010 and/ or any provisions of Acts which affords similar or equivalent protection.

Exclusion from Protection

The Company/ Group, however, will revoke this assurance / protection pursuant to Section 11 of the Whistleblower Protection Act 2010:

- The Whistleblower himself has participated in the improper conduct disclosed;
- The Whistleblower wilfully made in his disclosure of improper conduct a material statement which he knew or believed to be false or did not believe to be true;
- The disclosure of improper conduct is frivolous or vexatious;
- The disclosure of improper conduct is made solely or substantially with the motive of avoiding dismissal or other disciplinary action; or
- The Whistleblower, in the course of making the disclosure or providing further information, commits an offence under this Act.

Reporting Channel

Any Whistleblowing disclosure of improprieties that concerns UOBKH by any external person can be made or communicated through the following channels:

- (a) By mailing Sealed letters with indicative labels such as “**To be opened by [name of the Designated Person] only**”, addressed to – as the following address:

Head of Internal Audit

UOB Kay Hian Securities (M) Sdn Bhd
1st Floor, Bangunan Heng Guan,
171, Jalan Rangoon, George Town,
Pulau Pinang

- (b) By email at yusnitanen@uobkayhian.com

Appropriate Actions Will Be Taken

All reports will be investigated promptly by the person receiving the report. If required, assistance can be obtained from other resources within the Group (e.g. Group Internal Audit, Group Human Resources, Group Legal Department, etc.). The progress of investigation will be reported to the Audit and Risk Management Committee no later than at the next scheduled meeting.

Upon completion of the investigation, appropriate course of action will be recommend to the Audit and Risk Management Committee for their deliberation. The decision taken by the Audit and Risk Management Committee will be implemented immediately.

[End]